

COMDTINST 3010.15A

28 MAR 2002

COMMANDANT INSTRUCTION 3010.15A

Subj: CONTINUITY OF OPERATIONS, POLICY, AND PLANNING

- Ref: (a) Presidential Decision Directive 67 (PDD-67), Enduring Constitutional Government and Continuity of Government Operations, (unclassified version) October 21, 1998.  
(b) Federal Preparedness Circular 65 (FPC-65), Federal Executive Branch, Continuity of Operations, July 26, 1999. (Available at: [www.fema.gov/library/libfpc\\_n.htm](http://www.fema.gov/library/libfpc_n.htm)).  
(c) Continuity of Operations Policies and Planning, DOD DIR 3020.26.  
(d) Contingency Preparedness Planning Manual, Vol. I, COMDTINST M3010.11 (series).  
(e) Vital Records Program, COMDTINST M5212.13 (series).  
(f) Executive Order 12656 (Sec. 202) of November 18, 1988, Assignment of Emergency Preparedness Responsibilities.  
(g) Coast Guard Telecommuting Program, COMDTINST 12630.1(series).

1. PURPOSE. This Instruction promulgates U.S. Coast Guard policy and guidance for continuity of Operations Planning, Continuity of Government (COOP/COG) under peacetime and national security conditions. This Instruction issues guidance for each district to plan for continuity of its missions and reconstitution under "all threats," during imminent and post event conditions for 30 days or more. Threats are unit and local area specific and must include: terrorism (including the use of weapons of mass destruction (WMD), loss of infrastructure as evaluated for Y2K in Business Continuity and Contingency Plans (BCCP's),) and any natural disaster contingencies that may affect conducting Coast Guard missions as appropriate to location and unit.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Chief Counsel and special staff offices at Headquarters shall ensure that the provisions of this Instruction are followed.
3. DIRECTIVES AFFECTED. Previous editions of Continuity of Operations, Policies and Planning, COMDTINST 3010.15 are cancelled.

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4. DEFINITIONS.

- a. Alternate Headquarters (AH). An existing headquarters of a component or subordinate command pre-designated, to assume the responsibilities and functions of headquarters under prescribed emergency conditions.
- b. Continuity of Operations Plan/ Continuity of Government (COOP/COG). A plan which provides the degree or state of being continuous in the conduct of functions, tasks, or duties necessary to accomplish an agency action or mission.
- c. COOP Team. The team of personnel designated to respond to a COOP event to perform the COOP/COG mission of maintaining the units missions. This includes the Reconstitution Team (RecTm) whose responsibility it is, working with the Government Services Administration (GSA), to provide for continuing the unit missions and accomplishing reconstitution as soon as possible.
- d. Emergency Essential Civilians. Coast Guard civilians employees whose assigned duties including additional duties, and responsibilities must be accomplished following the evacuation of non-essential personnel from a CG facility or a geographical area during a declared emergency, COOP activation or war.
- e. Emergency Essential Operations. Those Coast Guard activities, missions and responsibilities which must be continued or be accomplished during and after an evacuation from CG facility or geographical area. Those CG functions not transferable to an alternate command or able to be placed in abeyance during a national defense or emergency condition.
- f. Emergency Relocation Site (ERS). Also “alternate site,” or “COOP site”; a site located, where practicable, outside an event target area to which all or a portion of a headquarters may be moved. It should be capable of rapid activation for a notional period of 30 days.
- g. Essential Operations. Those functions that enable the Coast Guard to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, sustain the industrial/economic base, and ensure continuity of government in an emergency.
- h. Relocation Plan. An unclassified plan or part of a COOP plan or SOP providing guidance on the relocation of personnel and activities associated with CG unit missions and operations to be conducted from a pre-selected emergency relocation site (ERS). Plan covers incidents for building evacuation, CASE-I and area wide evacuations, CASE-II.
- i. Terrorist Incident. A violent act, or an act dangerous to human life, in violation of the criminal laws of the United States or of any state, to intimidate or coerce a government, civilian population, or any segment thereof, in furtherance of political or social objectives.
- j. Weapon of Mass Destruction (WMD). (a) Any destructive device, explosive, incendiary, or poison gas, bomb, grenade, rocket having a propellant charge of more than 4 ounces; missile having an explosive or incendiary charge of more than one quarter ounce; a mine or device similar to the above. (b) poison gas; (c) any weapon involving a disease organism; or (d) any weapon that is designed to release radiation or radioactivity at a level dangerous to human life.

- k. Virtual COOP. Coordination by dispersed persons in a COOP Team organization using phone, FAX, email, video teleconferencing, etc., to perform necessary emergency essential functions. The first response to any event, it may be the only safe response for a period of time in an affected area.

## 5. DISCUSSION.

- a. Authority and Requirements. All federal agencies including the Coast Guard are required by references (a), (b) (c) and (f) to provide for continuity of government (COG) and operations. Program requirements include the development of COOP plans or SOPs for each unit (series 3050.XX) to allow a disruption in “essential missions” no longer than 12 hours and have sustainability for 30 days. These and other new requirements are expansions of traditional Coast Guard COOPs.
- b. The Threat. Threats, including terrorist activity, make it necessary to plan for continuing Coast Guard missions under any contingency situation, all threats. Enclosure 1 is an example of a threat matrix that may be used to evaluate the threat(s) at any location. Conditions may at any time render any work location(s) unusable. One building, a unit or base, or an entire metro/geographical area may be affected, temporarily or for extended periods. COOP/COG and reference (d) planning requirements must consider the affect on CG missions initially and for the intermediate term, providing for a return to more normal operations as rapidly as possible.
- c. Authority. Commanding Officers/Officers in Charge have discretionary authority to initiate or not initiate COOP plans. Each individual plan must include specific written and sequenced delegation of authority to other CG local and remote commands. Delegated commands will proactively assume command responsibility given any initiating event with any degradation in effective capability or communications with the affected unit. Enclosure 4 provides guidance to individual unit members when promulgated by their units.
- d. Unit Emergency Response Organization. Provisions for Commanding Officers and command staff must be made as required at alternate sites. Unless they direct otherwise, Commanding Officers will rely on the below pre-designated organizations to act for them as covered in published procedures. Members of the emergency response organizations must be pre-designated as “Emergency Essential Augmentees” in their billet and job descriptions.
  - (1) Watch. Units will rely on the watch organization as the initial point of contact for any incident. Watches will have a detailed “Facility Evacuation Plan or SOP.”
  - (2) Incident Management Team (IMT). An IMT of pre-designated and trained on-call members will be formed within two hours, either virtually by phone/email or actually by gathering at a pre-designated alternate site. The IMT will ensure mission capability continues within 12 hours for 30 days or as necessary. The IMT is responsible for contacting and coordinating accountability of all Coast Guard personnel and assets, for relief and for requesting additional assets as necessary, see Enclosure 2.
  - (3) Reconstitution Team (RecTm). As a part of the IMT, a COOP RecTm will form as detailed in Enclosure 2. The RecTm will be responsible for coordination with GSA and other agencies to provide facilities, transportation and communications in support of relocating personnel.

- e. Remote virtual or tele-response. Initial response will be by unit COOP plan “on call” officers coordinating with the unit Command Center watch, or if unavailable, calling direct to other officers on staff to coordinate forming an IMT by phone or email. This “virtual” IMT will decide what needs to be done and how best to proceed. Personal safety and inability to travel in the area may dictate that a “virtual” COOP organization be functioning for a period of time. Working from home also provides for a person’s need to be with family during unsafe or fearful times. Full use of information technology (IT) is encouraged, especially use of telecommuting type systems. Enclosure 5 discusses this.
- f. Alternate Sites. Alternate sites are required for each CG unit. Two relocation cases for COOP are suggested: Case I - a building/location only is unusable and relocation to a site close by is possible or Case II - the general area is unusable, requiring relocation to a planned remote site. It is necessary to identify and establish relocation sites and alternate command centers and to establish bases for reconstitution. Full coordination with local and state emergency organizations and centers is required. Enclosure 3 discusses Alternate Site Criteria. A classified database of alternate site locations and communications links is kept nationally by GSA for this program.
- g. Working and “vital” records. The need for emergency operating records (EOR) to conduct Coast Guard essential missions to be available within 12 hours and sustained for at least 30 days will be met by use of notebook computers and CD media, etc. IT systems supporting remote access to EORs and backup or duplication of selected working files on redundant geographically separated servers is preferred to furnish this capability. Designated individuals must be able to sign on and have working capability remotely and at various alternate sites. Remote geographically separated file back ups support reference (e) requirements.
- h. Coast Guard Missions. Reference (a) requires resumption of Coast Guard essential missions with a disruption of services no longer than 12 hours. This instruction meets that requirement by taking the traditional military approach that continuity of command, as detailed and provided for herein and individual COOP plans, will provide for each mission and function for which that command is responsible. Plans must also fully support any requirements of Coast Guard transfer to the Navy under 14 USC 3, if a unit’s structure (C3I) or missions are impacted by this potential requirement.
- i. Missions Priority. Reconstitution and resumption of full unit mission capabilities is the highest priority subject only to national defense, search and rescue (SAR) and other life saving missions.
- j. Federal Response Plan (FRP). A declared emergency while under COOP operating conditions may require mobilization of certain CG assets. CG units tasks to provide emergency support under the FRP will follow standard procedures to track and record CG expenditures in support of the emergency operation.
- k. Personnel Instructions and Accountability. Reference (a) and (b) require personnel accountability. Members at every unit need to be furnished with instructions and contact points that guide them following a contingency event. Every CG military and civilian employee is responsible for his or her dependents and should ensure their dependents are familiar with emergency procedures and emergency services including shelter and housing and communications available in the local community and area. Dependents should also be aware of procedures to contact sponsor after an

evacuation has occurred. Enclosure 4 is a sample of procedures to use for personnel accountability.

- l. Funding. Funding in support of this program is specified by Office of Management and Budget (OMB) as the "NSC (National Security Council) cross cut." Multi year budgeting is required in the areas of: Planning, Alternate Facilities, Interoperable Communications, Vital Records/Database Access & Protection, Training & Exercises, and other program requirements such as additional manpower or billets to support the program. Program funding for each FY will follow normal budget request process.
- m. Management Plan. This Instruction and the Coast Guard wide COOP plans required herein constitute the "Management Plan" requirement of reference (a) Enclosure 6 is an audit checklist to determine compliance with reference (a) and (b) requirements.

## 6. POLICY.

- a. Each command and CGHQ directorate shall appoint a POC for COOP and emergency preparedness program.
- b. Each CG district shall develop plans to provide for continuity of Coast Guard operations including ideally the ability to form distributed "virtual" teams by computer and phone, to relocate command and control functions that include pre-designated succession and alternate sites, to support reconstitution of Coast Guard forces and to account for and support Coast Guard personnel.
- c. Area and District Commanders shall coordinate with the Director, Command, Control, Communications and Computers (G-SC/SCT) through normal procedures to ensure availability of necessary communications and IT capabilities. Equipment shall be tested periodically (at least every 12 months) and maintained in "READY TO USE/OPERATE STATUS." The Chief, CG Command Center (G-OPF) shall, in coordination with the, Director National Response Center and Chief, Communications Center (HSC-t-4c) develop and coordinate guidance and procedures to ensure continuity of operations within the Command Center network, National Response Center and Communications Center. Procedures shall include the capability to communicate from remote locations, capability to assimilate and disseminate message traffic, environmental information, and the ability to receive and generate terrorist incident/activity reports from public and classified sources.

7. EXERCISES. Emergency relocation and COOP plans must be exercised annually to ensure plans and procedures are valid and the training of those responsible for their implementation remains current. JCS directed worldwide Command Post and Joint Emergency Evacuation Plan Exercises (CPXs), and regional emergency management exercises sponsored by FEMA and DOD provide opportunities for testing and examining plans and procedures on a regular basis. Participation must include the relocation of command and communications center staffs testing emergency essential teams, procedures, and equipment at, or from relocation sites.
8. SECURITY. Planners at all levels should be alert to the unintentional release of COOP/COG and or relocation plan and procedures information. Information pertaining to the location and vulnerability of government and military facilities and personnel should always be sensitive information for official use only (FOUO) or higher classification. The classification authority for any classified plans

prepared as a result of this directive is COMDTINST M5510.23 (Series), Classified Information Management Program Manual. Information requiring protection includes:

- a. Planning assumptions on the specific nature of the threat at the FOUO level unless derived from higher classified sources.
- b. Special communications procedures and requirements at the Secret level or as otherwise directed. This is not to include watch telephone numbers, email addresses, internet/intranet URLs, or message addresses unless specific reasons apply.
- c. Overall strength and composition of personnel within the designated alternate headquarters or relocation site.
- d. Specifics of the operation of primary and alternate command and communication centers.

9. RESPONSIBILITIES.

a. The Commandant will:

- (1) Monitor DOD (JCS and Navy), DOT and FEMA plans and requirements to adjust and promulgate Coast Guard policy for the development and support of COOP/COG and Relocation Plans. (G-OPF)
- (2) Develop and revise the Coast Guard COOP/COG program in accordance with governing directives. (G-OPF)
- (3) Review Headquarters Units, Area and District COOPs for program conformance with service policy including program funding requirements. (G-OPF)
- (4) Maintain a file of DOT/OST, CG Area and District COOPs, DOD/CNO COOP and the Interagency Contingency Communications Plan (ICCP) for communication. List all alternate site locations with GSA and list contact numbers and communications addresses in the Defense Information Security Agency (DISA) ICCP. (G-OPF).
- (5) Develop evaluation criteria and procedures to test and train the CG Command Center, National Response Center, and communications center teams to operate from primary, and alternate/relocation sites. (G-OPF, NRC and HSC)
- (6) Develop procedures to assess the situation after an attack on the US; including a terrorist incident with the use of WMD Procedures must include the ability to determine the status of Coast Guard chain of commands, status and availability of forces and accountability of all personnel - military, civilian and auxiliary. (G-OPF)
- (7) Develop the procedures and software to conduct a personnel accountability and status check by remote and dispersed watch centers. This system is to enable individual Coast Guard members –(military and civilian) to call (email, FAX, fill in web-page, or other) in to a watch center/Incident management center (IMC) and report their status. Personnel status information will be provided to HR or PERSRU personnel for personnel accountability and unit personnel status. (G-OPF, G-WP and HSC)

- (8) Provide the operable IT system to allow access by Coast Guard emergency essential personnel from any relocation site. Design of this system to provide for full operability despite the complete loss of any one facility or geographical area. As part of this system, promulgate directions for maintaining and archiving vital records. (G-CIT and G-SC)
- (9) Develop and maintain the Coast Guard Headquarters building protection, evacuation and relocation COOP plans. In coordination with G-OPF, develop procedures to support the CG Command Center and NRC with record message traffic, CG-Intranet and AUTODIN/DMS prior to and when operating from any remote site. Develop the capability for the CG Data Network to be operable and transparent to the user from any remote location or site. (G-OPF, G-SC and HSC)
- (10) Develop and maintain procedures to ensure security of command and control equipment and other material located at the CG Command Center, and relocation sites.(G-OPF, G-CIT, G-CIF and HSC )
- (11) Ensure all COOP plans stipulate the availability of psychological/emotional counseling for personnel affected by a COOP event. Area Chaplains and Work Life organizations maintain this ability and can advise given any situation. (G-OPF, G-CH and HSC)

b. Area Commanders shall:

- (1) Develop and revise COOP plans in accordance with this directive and references (a) and (b). Plans are to be written in standard OPLAN (JOPS) format
- (2) Forward one copy of the Area COOP to Commandant (G-OPF) for review within six months (180 days) of the date of this instruction. Compile a database of all CG unit locations, and their alternate sites to include: 1.complete mailing address and/or locations, 2. latitude and longitude to the nearest 1/10 of a second and 3. all IT contact numbers, email addresses, systems and modes. As any changes occur, forward the updated data base (not just the correction) to Commandant (G-OPF) for inclusion in the Federal Government COOP/COG databases run nationally by GSA for location and DISA for communications.
- (3) Review and approve District COOP plans. Forward one electronic copy of approved District COOPs to G-OPF.
- (4) Ensure adequate equipment, procedures, plans and publications are made available at the relocation sites or alternate headquarters to carry out Command missions.
- (5) Budget for and test emergency relocation procedures and continuity of operations plans periodically.

c. District Commanders shall:

- (1) Develop and maintain COOP plans in accordance with this directive and references (a), (b) and (c).
- (2) Forward a copy of the District COOP plan to the Area Commander for review and approval.
- (3) Direct, review and approve COOP or SOPs developed by District units as appropriate.
- (4) Collect and compile information on unit locations required of Area's in 9.b.(2) above.

- (5) Ensure adequate equipment and information are made available at the alternate command center to carry out command and control functions of Coast Guard forces and to execute pre-designated successor to command responsibilities
- (6) Test emergency relocation procedures and continuity of operations plans annually during exercises. When applicable use JCS, Area, CGHQ and FEMA sponsored regional exercises.



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CHIEF OF STAFF

- Encl:
- (1) Threats and Vulnerability
  - (2) The Coast Guard Unit IMT (COOP Team)
  - (3) Coast Guard COOP, Alternate Site Criteria
  - (4) Coast Guard Unit, Individual Member Procedures
  - (5) Individual "Needs" During a COOP event
  - (6) Compliance Guide, Program Audit Check List



## **Threats and Vulnerability**

### **1. Threat Evaluation.**

- a. It is important to evaluate the threats for each facility because the nature of the threat will dictate the location of alternate sites. For example, if a significant threat for one location is flooding, then an alternate site should be selected that has a significantly reduced possibility of flooding. This is true for both COOP/COG Case I (local) and Case II (remote) alternate site locations.
- b. The Tabs below are to assist in evaluating each location's threats for significance (probability and magnitude of impact). The table should be filled out for the unit's normal location and then used to evaluate the proposed Case I & II alternate locations.
- c. It is important to select alternate sites that by their location will be able to function regardless of the exact event that forces COOP/COG activation. Accessibility to the site location by COOP Team personnel is also a primary consideration.

### **2. Site Vulnerability Analysis.**

- a. Hazard and threat vulnerability assessments should consider primary and secondary risks that may occur at a given site. The Office of Security Policy & Management (G-CFI) has the responsibility for these functions within the Coast Guard. The Federal Protective Service has the responsibility for conducting site vulnerability analysis on all government-owned or leased facilities under the control of GSA. Agencies and organizations should contact the Federal Protective Service for the latest report. In some cases, a business unit may designate or authorize an outside organization to conduct their site vulnerability assessment.
- b. Hazard or threat identification and vulnerability assessment combine probabilities of events (earthquake, hurricane, terrorism, etc.) with factors relevant to the specific site (location, operational, and structural characteristics) to determine the risk of a given threat at a site. Consider emergencies that could occur within your facility and emergencies that could occur in your community. Remember, impacts on public and private transportation systems may affect the ability of personnel to get to work or home.
- c. Hazards and threats may be from a secondary source. Neighboring offices or facilities may house materials or perform operations that generate hazards or threats for your operation. While you have no direct control over that type of hazard or threat, your site vulnerability may be higher.
- d. A site vulnerability analysis typically considers problems relating to the location of the facility in question. The vulnerability analysis may reference the risk of demonstrations, acts of terrorism and crime rates in the immediate area. In addition, the analysis may discuss the current protection methods used such as camera systems, guards and access control systems.
- e. Physical security design and assessment should consider both mechanical, electronic and computer issues in addition to the building, agency, function or location-related threats and hazards. Topics ranging from locking systems and updated standards to sensors, screening and detection equipment and digital technology should be included in the vulnerability analysis.

- f. Use the following vulnerability analysis charts to guide you in your review of primary and secondary threats at unit normal location and both primary and alternate locations. Mark L (low), M (medium) and H (high) in each category for the location and evaluate.

**TAB A1-1**

**Table A1 -1 Vulnerability Analysis Chart, Primary Hazards and Threats**

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Hurricane, tornado, windstorm									
Terrorism/weapons of mass destruction									
HAZMAT release									
Crime									
Transportation accidents									
Bomb (threat and actual)									
Flooding									
Fire/Wildfire									
Power failure/interruption									
Civil disturbance									
Health hazard/disease									
Communication interruption									
Earthquake									
Volcano									
Tsunami									
Transportation interruption									

**Table A1 - 2. Vulnerability Analysis Chart, Secondary Hazards and Threats**

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Prohibited access to the facility									
Smoke damage									
Hazards or threats to adjacent offices or facilities									
Structural damage									
Communications lines down									
Loss of electrical power & blackouts									
Water damage									
Ruptured gas main									
Air or water contamination									
Explosion									
Building collapse									
Trapped persons									
Chemical release									



## **The Coast Guard Unit IMT (COOP Team)**

### **1. COOP Team Mission.**

**Note,** These guidelines are intended to give structure and direction for the unit IMT (COOP Team) members to follow in any COOP situation. They are not to interfere with or take the place of good judgment or common sense by anyone. The COOP Team will:

- a. Implement the COOP mission of continuing unit missions and quickly reconstituting to normal by whatever means are available and necessary.
- b. Form the IMT organization by phone and telecommuting means. If possible and necessary, coordinate gathering at a designated or alternate site. Team will organize itself and check in by divisions and the unit command senior staff with designated contact points. Establish current status, necessary contact points, current plans and location of team members. State known emergency/urgent situations within the purview of the unit. NOTE: One of the first unit IMT command decisions will be to determine if the unit command is adversely impacted to a degree that the alternative delegated command must assume responsibility for the unit's AOR mission coverage.
- c. Initiate/reconstitute the function of Command within the unit. Senior department personnel on the IMT will take responsibility for contacting their field units and offices and determining status of the units. It is recommended that division command representatives immediately designate one field unit as the contact point and allow all field communications to flow through that point. Tell the field that the unit IMT is forming and that it includes the Commanding Officer, as Commander or their successor.
- d. For any significant event, the Federal Response Plan (FRP) will be activated based on the FEMA-led and coordinated response organization. It is important to work with this organization wherever it is functioning. FEMA contact is the National Emergency Coordination Center (NECC) at (800) 634-7084.
- e. Formed by direction of the IMT, the COOP Reconstitution Team (RecTm) will be the primary working staff to support the IMT in carrying out Coast Guard missions. The team will be informed of the contact points for others on their team and instructed to organize, actually or virtually. They should be instructed to assess the situation concerning the unit building or alternative work location(s), and to proceed with this effort only as the situation and their personal safety permit. They should be asked to start giving estimates on how long it will be to reconstitute to a normal work situation in facilities and systems at the different pre-selected or other relocation sites.
- f. If the situation warrants it, request that systems be activated and contact numbers be available to support immediate private telephone counseling for individual personal psychological/emotional issues concerning the incident that caused the COOP. Counseling should be available for all CG

personnel, and their dependents. The CG Employee Assistance Program (EAP) counseling organization is available through the USCG Work Life and can be contacted by the individual directly at (800) 222-0364. Critical Incident Stress Management (CISM) services are requested by the Command to the district or area, see Critical Incident Stress Management (CISM), COMDTINST 1754.3 (series).

- g. Continue to reconstitute the IMT at the alternative site(s). Organize it to be the focal point for the Command to assure that Coast Guard missions are being conducted. After the initial organization of no more than several days, start scheduling the relief shifts for team members and providing for personnel and systems to support functioning for the duration that the IMT may be required.

2. The COOP Reconstitution Team (RecTm) Mission.

- a. The COOP RecTm is comprised of a cadre of specialists who, on direction by the Incident Management Team (IMT), will support the IMT in providing for missions work. Tasking will include surveying the condition and adequacy of spaces; contracting for repairs to existing unit offices or procuring new spaces either temporarily or permanently; and procuring computer, communications transportation and any other necessary equipment and services.

The team is comprised of (example):

COOP Reconstitution Team (RecTm)			Support Services	
Ops	Team Leader	Lead	Staff	Computers/Comms
Legal	Legal staff	Rep	Staff	Admin/Supply/HS/Med
Personnel	Personnel staff	Rep	Staff	Buildings/Structural
Staff IT, YN and SK	Staff and support, other as required.	Staff	Staff	Security
			Other as identified	

- b. The RecTm will work in the field making contact with members of unit work groups and other units who will state what they require in the way of facilities and systems to start and continue their work. The RecTm will also do the following:
- c. Provide temporary spaces and equipment as necessary for unit personnel to continue missions virtually from their homes, temporary locations or as directed.
- d. Work with GSA, host organizations, contractors and others as necessary to rapidly make existing spaces usable to fully support unit staff and existing tenants. Temporary work situations such as alternating shifts with other tenants are options.

- e. Working with GSA and commercial real estate brokers to determine the schedule for re-occupying unit building spaces or finding replacement spaces, equipment and systems. Also, work with contractors to repair existing spaces, equipment and systems as required.
- f. In a unit building/site emergency (COOP Case I), the team's work will deal with:

**Relocation Sites for Case I**

**Case I - Building only is unusable.**

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- 1 Virtual COOP org as necessary.
- 2 Relocate to local preplanned location(s).
- 3 Other close by facilities.

- g. In a larger emergency, area or region (COOP Case II), the team's work will deal with:

**Relocation Sites for Case II**

**Case II - Downtown or metro area is unusable.**

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- 1 Virtual COOP organized as necessary.
- 2 Primary planned COOP Site out of area.
- 3 Alternate sites and organizations as required.
- 4 Out of Area of Responsibility (AOR) location.

- 3. For procurement during an emergency in the commercial arena refer to the following. The General Services Administration (GSA) will be a significant aid in this process.
  - a. Defense Production Act (DPA) of 1950, as amended, Public Law 81-774 (50 U.S.C., App. 2061, et seq.).
  - b. The applicable Executive Order covering the incident or situation; possibly implementing the Robert T. Stafford, Disaster Relief and Emergency Assistance Act (Stafford Act) as detailed in the Federal Response Plan (FRP) managed through FEMA.





### **Coast Guard COOP, Alternative Site Criteria**

1. The “virtual” COOP will be the initial organization but the command center watch with the IMT will need to be a focal point at one location. Also, senior managers and staff will want to assemble and form a temporary watch/office location. The need to identify a location to provide for unit functioning is required. These locations must be removed from the local unit building area (COOP Case I) as well as the wide metro area or region (COOP Case II), be easily and reliably reached, have security and the necessary infrastructure systems for the COOP organization to function.
2. Size of the facility is dictated by the size of the watch center staff with IMT (COOP Team) and the command/executive team which will use it. Each unit may be different. Using CGHQ as an example: The team composition that can accomplish continuing the missions and the necessary support staff such a team requires, is estimated for an initial surge capacity of (notionally for CGHQ building) from 6 to 30 persons and a long-term team size of an (notional for CGHQ building) estimated maximum 40 to 100 persons. Creation of the individual CG Unit COOP Plan, as required, will determine these numbers of persons.
3. Factors for consideration at all remote sites:
  - a. Location and the potential difficulty for individuals to get there. Factors include:
    - (1) Distance and weather impact on the ability of individuals to get there.
      - (a) Impact on the ability of individuals to change shifts/relief.
      - (b) Distance – commute time – can severely limit who can and who is willing or, for family reasons, who can commute to any COOP site. This is also dependent on the duration of the period.
    - (2) Road conditions for personnel to get there.
      - (a) Bridges and tunnels in the metro area are a primary concern.
      - (b) Traffic, clogged with normal, refugee or evacuee traffic.
      - (c) Snow/ice, road/bridge damage, flooding, power to traffic control, etc.
  - b. Inability of individuals to leave their homes and reach the designated COOP locations (real or perceived). Factors:
    - (1) Their personal automobile, commercial transportation or arranged transportation is available, working and adequate (gas tank full, snow tires/chains, ground clearance etc) for getting them to the designated site, rally point, etc.
    - (2) Dependency on the roads being open for personnel to get there, possible problems:

- (a) Traffic conditions due to roads clogged with normal rush hour, emergency, refugee or evacuee traffic.
  - (b) Road conditions due to snow/ice, road/bridge damage, flooding, and power outage for traffic control, etc.
  - (c) Official road closure or control in emergency situation requiring ID, clearance, and priority to allow individuals to pass.
  - (d) Alternative transportation including bus, van, boat, helicopter or aircraft transportation is arranged with scheduled, staging and pick-up point(s).
- c. Reluctance of individuals to leave their homes and families if there is a significant event, such as a large storm, terrorist bomb, NBCR, or WMD event:
- 4. For any medium period (two weeks) to long period (30 days or more), the work site will need to serve only as a "core" or "seed" for CG unit work. The COOP team organization will provide management direction, resource authority, and the focal point to reconstitute to the normal work capability of CG unit. Groups will increasingly do the work as teams started up as needed and located either virtually or physically in various locations provided for them by the COOP RecTm.
- 5. A physical facility will need to be able to support the personnel working there just as would any office. For this reason, the taking over of or sharing time in existing office facilities is most desirable. In addition, given a possibly long, difficult and perhaps dangerous commute home, it may be highly desirable for individuals to be able to be fed and berthed at a COOP facility or near by for days at a time. Equipment for sleeping and feeding initial responders for several days at the alternate site should be considered.

## **Coast Guard Unit, Individual Member Procedures**

**Note:** The information below should be given to each person assigned to your unit on a laminated wallet/purse/pocket card. An example is included in TAB A.

1. **COOP Event and Plan Implementation.** Given a fire, flood, power, communications, or water outage, bomb threat or similar occurrence, the unit office spaces may become unusable or unreachable at any time.
  - a. **For the Command:** Any “significant disruption” is a possible initiating event. Commanding Officers, their watches and Incident Management Team (IMT) personnel will consider any significant disruption of the ability to use normal workspaces or necessary systems as a COOP event. They will implement their COOP plan to be fully able to conduct CG Missions within 12 hours as required. Command center evacuation plans are part of the COOP plans.
  - b. **For the Individual:** If a disruption is longer than two business days or, is expected to cause significant disruption of unit work potentially greater than two full business days, then it is a “COOP Event.”
2. Individual CG members will:
  - a. **If you are at work:** If you are evacuated or cannot enter your workspace, if possible, speak with your supervisor to determine your course of action. If the building can not be re-occupied in a reasonable time, it is a COOP event and this plan will be initiated. If you are not otherwise assigned under this plan (watch or IMT or other), go to a safe place. If there is a possibility of contacting your supervisor locally, attempt to do so and follow his instructions. If not, go to your home and monitor the situation by media or phone contact with your supervisor, co-workers, or other officials. If you cannot go to work by the third business day, it is a COOP event. Follow the procedures in the next section below to contact your unit or other Coast Guard officials.
  - b. **If you are at home or away from work:** When an event happens that affects work at the CG unit office or building, it is likely that it will be on the local news. If the work disruption is expected to be significant (disruption of CG unit work potentially greater than two days), then carry out the following actions:
    - (1) From a safe place, call or email your personal information and check in using the same information and order as that listed in the table below.
    - (2) After you have initially checked in, if you have not heard from your supervisor, CG unit command or other proper authority by the next business day, check back in each day or as otherwise instructed.
    - (3) If the local news indicates that the general area around the CG unit office is not accessible and it is obvious that COOP Case II (out of area) is necessary, secure your home and family and continue to check in every other day or as instructed. If you can safely report to your CG unit or another CG unit, do so when your family and neighborhood are stable and safe.

c. Individual Responsibilities – Check In:

(1) From a safe place, call, FAX, fill in a web page or email – “check in” as follows:

(2) Contact in this order, until you reach someone and provide information indicated:

<u>Your Supervisor</u>	<u>Division head</u>	<u>Unit command/other</u>
Phone: _____ / _____ / _____		
e-mail: _____ / _____ / _____		

(3) If unable to contact the above, then call:

<b><u>Any local CG unit watch:</u></b> ~ Station / GRU local / MSO local		
Phone: _____ / _____ / _____		
e-mail: _____ / _____ / _____		

(4) If unable to contact the above, then call either:

<b><u>LANTAREA ComdCen:</u></b> (757) 398-6390, (800) 862-4535, <a href="mailto:CommandCenter@lantd5.uscg.mil">CommandCenter@lantd5.uscg.mil</a>
<b><u>PACAREA ComdCen:</u></b> (510) 437-3700/1, (800) 246-7236, <a href="mailto:od11/pacarea@d11.uscg.mil">od11/pacarea@d11.uscg.mil</a>

(5) If unable to contact the above, then call:

<b><u>CGHQ ComdCen:</u></b> (202) 267-2100, (800) 424-8802 (NRC), <a href="mailto:fldr-opf.msg@comdt.uscg.mil">fldr-opf.msg@comdt.uscg.mil</a>
--

(6) **Or**, if you can safely do so, go to your CG unit or any CG unit and report for work.

(7) Make sure you are reported with the “check in” information below for accountability.

d. Give this “check in” information:

(1) Identify yourself as a CG unit member and list the following:

- Your name (l,f,mi) \_\_\_\_\_
- Rank/rate, Civilian/grade \_\_\_\_\_ (state if a Reservist)
- SS# \_\_\_\_\_
- Unit & Div. Assigned \_\_\_\_\_
- How to contact you - phone/email/other \_\_\_\_\_
- Comments, your & dependent's condition and plans. \_\_\_\_\_

(2) If appropriate, ask for the access numbers for the Government Emergency Telephone System (GETS) active for the incident and write them down for your future use. After you have initially checked in, check back daily or as instructed.

(3) The Employee Assistance Program (EAP) counseling organization is available through USCG Work Life and can be contacted by the individual directly at (800) 222-0364. If required, counseling can be requested by the Command per Critical Incident Stress Management (CISM), COMDTINST 1754.3 (series).

### TAB A. Pocket Procedures

**Example CG unit Contingency Instructions for Individual Unit Members:**

1. This tab is designed to be filled in for a unit/individual and reduced to a laminated wallet size card. It is suggested that co-workers home and office information be put on the other side.

# USCG Employee Emergency Procedures

If a Contingency Incident (more than 3 lost business days) occurs all CG members - Military, Civilian and Auxiliary are to:

1. **Stabilize your personal/family/home/community situation.**  
Listen to any local TV station, radio, etc. for news and public announcements. Obey public safety guidance.
2. **Report In:** Within 1 to 3 days or ASAP, call or contact by e-mail, or if you can safely physically report to your unit, do so. **CG Reserve personnel** call/report in to your unit for instructions.
  - a. Your supervisor, division, branch, Unit:  
          <PHONE, FAX, EMAIL OTHER>  
          <PHONE, FAX, EMAIL OTHER>
  - b. CG unit local area: <fill in as necessary>
  - c. CG unit close by area:       “
  - d. District watch center:       “
  - e. PAC Area: (800) 246-7236, od11/pacarea@d11.uscg.mil
  - f. LANT Area:(800) 862-4535, CommandCenter@lantd5.uscg.mil
  - g. CG Headquarters: (202) 267-2100, (800) 424-8802,

Report the following “check in” information:

  - 1) NAME: Last, First, \_\_\_\_\_
  - 2) Rate/Rank: \_\_\_\_\_
  - 3) SS#: \_\_\_\_\_
  - 4) Unit & Div. Assigned: \_\_\_\_\_
  - 5) How to call/contact you: \_\_\_\_\_
  - 6) Comments – you and your dependent’s condition, plans:  
\_\_\_\_\_
3. GETS numbers: Govt. Emg.Tele. needed for duties - request it.
4. Report in at least every 48 hours or as instructed.

TAB B. When Coast Guard units are subject to disruption from a contingency incident

<u>SITUATION</u>	<u>ACTIONS TO TAKE</u>
<u>Normal Operations</u>	Perform normal mission functions
<u>Pre-Incident</u>	Potential (Threat) identified Contingency Plans written and exercised Exercise and test plans periodically
<u>During Incident</u>	Duck and hold as appropriate Overcome initial surprise and shock Mitigate casualties/damage/disruption as possible Suspend mission ops as necessary for unit recovery, safety
<u>Immediately Following</u>	Fire fighting, first aid, rescue ops (immediate area) Support other Coast Guard units as able. Quick initial casualty/damage assessment – report, notify Stabilize situation and start recovery Start performing missions only as resources allow
<u>After Incident</u>	Recover forward Ops ability when unit situation is stable. Support other Coast Guard units on a priority basis. Assess damage and casualties – report. Request support as necessary Repair/replace personnel, equipment and facilities
<u>Following Incident</u>	Perform mission operations when the unit sufficiently recovers Follow up on damage Account for all personnel Request relief for exhausted crews and watchstanders.

### **Individual “Needs” During a COOP event**

1. Any planned organization, regardless of how well tested by simulations or exercises, will have to cope with the reality of its personnel being “victims” of the COOP event to which it is responding. Not only the unit members but their families may also be subject to the event. This may cause significant barriers or disruptions in the organization’s ability to organize and conduct its mission. Recognizing these personal, psychological, and emotional factors exist and creating a system that minimizes their affects during plan implementation is vital to the plan’s success.
2. Training and exercising with equipment that will be used during a plan’s implementation is a well-established Coast Guard standard. Directly taking into account at whatever level possible, the psychological, and emotional state of the victim of an event is unusual but a necessarily part of COOP. Furnishing individuals with equipment and systems to make them productive while staying at home with their families is desirable, as detailed below:
3. Psychological and Emotional Factors During COOP Events.
  - a. Factors such as a person’s fear can be as disabling as any physical wound or trauma. When families and loved ones are involved, the impacts and complexities are significantly increased. At its worst, trauma can leave someone curled in a fetal position on the floor, totally incapacitated. The affect on their loved ones around them or at a distance is very significant and may be debilitating as well to a person. More normally, fears of the individual or their family will lead to the individual making decisions that are very cautious, hopefully in a safe place like the home. This may directly conflict with what is planned for the individual in a COOP event.
  - b. Inability of individuals to leave their homes and reach the designated COOP alternate site or report to any other locations may result when real or perceived circumstances cause emotional response in the individual and their family members. This may prevent them from doing what is planned. Examples in which an individual may decide simply not to do what is planned or required because it is “unsafe” to do so or for another “logical or reasonable” sounding reason include:
    - (1) Their personal automobile, commercial transportation or arranged transportation is not available, working and adequate (gas tank full, snow tires/chains, ground clearance, etc.) for getting them to the designated site or rally point.
    - (2) Dependency on the roads being open for personnel to get there can be hampered by possible problems:
      - (a) Traffic conditions adverse due to roads clogged with normal rush hour, emergency, refugee or evacuee traffic.
      - (b) Road conditions impassible due to snow/ice, road/bridge damage, flooding, power outage for traffic control, etc.
  - c. Transportation and travel factors.

- (c) Inability to show required ID to obtain clearance and priority to pass during official road closure or control in emergency situation.
    - (3) Alternative transportation including bus, van, helicopter is arranged with scheduled staging and pick up point(s) but it is questionable weather it is safe to go there and use it.
  - d. Individuals may be reluctant to leave their homes and families if there is a significant event, such as a large storm, terrorist incident, bomb, NBC, or WMD event:
    - (1) Family security and emotional well-being is always paramount for individuals at such a time. They will find logical reasons to follow their emotional needs, particularly during stressful situations.
    - (2) Perception that they can't get there, that it will take a long time (days?) to arrive and that they are not 'really needed' to be there will prevail.
  - e. Conclusion. Let's plan for this and use the honest desire of individuals to be with their families and still do their jobs as best they can at the same time. Let individuals stay at home and do their jobs using computer/phone links, etc. – the "virtual" response – whenever possible. This is what is called a virtual COOP.
4. Desirability of the "Virtual" COOP Organization. The widespread use of computers and multiple communications links allows the COOP team to start activities immediately from wherever they are, especially at their own homes.
- a. The advantages of using the "virtual" or "cyber" COOP concept include:
    - (1) Allows for a dispersed organization since it doesn't matter where the individual is located. Allows for immediate response, time variable work, email, and faxes that can wait until the addressee opens and uses them. Time zones, disruptions and sleep periods are not a problem.
    - (2) Emergency team and individual member's reaction time to report in and start work is essentially immediate, if sufficient support (communications) systems are functioning.
    - (3) Conforms to the individual's psychological and sociological needs during an emergency where there is fear for one's self and perhaps one's family. Allows the individual to relieve the stress of "what should I do" by allowing them to stay home and do their work at the same time.
    - (4) Is an extension of and addition to existing telecommuting initiatives directed by reference (g).
    - (5) Saves on size and therefore cost of pre-planned, dedicated COOP facilities and sites.
    - (6) Eliminates the need for determining essential and vital records to meet requirements of reference (e), as all records available to an individual normally at his work location will be available at his COOP work location.



- (7) Will provide, when designed into the IT LAN/WAN systems, easy access to all records, not just essential records, and which individuals use normally in their everyday work. This will greatly facilitate the ability of every individual to work normally by this medium. It supports forming an IMT and COOP RecTm while dispersed – at home or wherever - pending the ability to physically get together safely.
  - (8) Is “user friendly,” if patterned on what individuals use everyday at their work desks.
- b. COOP requirements to optimally utilize this system in an emergency include:
- (1) Dispersion of single or multiple (mirrored) servers for redundancy, and reliability. By allowing workers access to all files, the challenge of deciding what is necessary, essential or vital is eliminated. Proper archiving of this data also meets the requirements for archiving records.
  - (2) Allowing easy and effective telecommuting type connections through existing firewalls in computer LAN and WAN networks.
  - (3) Commonality of software and especially email to provide rapid, timely and uninterrupted information exchange in all forms and formats.
  - (4) Easy, user friendly interfaces and connections to the system.
- c. Equipment and systems for the individual. Using personal and Coast Guard furnished or subsidized IT equipment at home, individuals will be able to communicate with their supervisors and work group as well as do work, meeting COOP requirements. The system must be up to date technically to at least the current CG workstation standard, user-friendly and generally familiar to use. Ideally, it will be much the same equipment and interface as the individual uses at his desk during normal work hours. Laptop computers used at work can serve such requirement.
- d. Coast Guard Computer System Requirements. In support of COOP and general telecommuting capabilities, Coast Guard computer systems should have the following characteristics and abilities adopted as acquisition and technology allow:
- (1) They must be easily accessible by users by any communications means; dial in phone, via the Internet (individual ISP's). Dial-in calls must be toll free and able to be supported by the Government Emergency Telephone System (GETS) during an emergency.
  - (2) All telephone connections in COOP sites, Crisis Centers, Command Centers, and other offices should allow connections by computers through the standard modems on the computers. In most cases, “data capable lines” provide this.
  - (3) There must be functionally “mirrored” servers as a back up system for the main USCG server(s) in geographically dispersed locations. Any change to files due to work by an individual user on the system should be automatically replicated to all servers regardless of what server was being utilized when the changes were made. System security, backups and integrity must also function to a very high standard.

- (4) Email is capable of rapid response (under 1 or 2 minutes to send and receive) internally, to other Coast Guard mail sites, to other .mil and .gov systems, and to the Internet in general.
- (5) Have email addresses for each individual set up at the alternate COOP site locations both virtually – accessible remotely, and actually – accessible on site.
- (6) Complete Internet access and interactivity must include all forms of security, with audio and video plug-ins enabled.
- (7) Provide for keyboard chat, phone and video capability by computer to enable phone and video conferencing by multi-users. Providing chat and phone conferencing simultaneously enables virtual meetings by the entire COOP team and cells.
- (8) During the Reconstitution Phase, setting up working computer systems at various locations is necessary to support interim work facilities. The USCG system must be flexible and capable of quickly and easily supporting the integration of new systems into the architecture of multiple mirrored servers. Ideally such newly connected systems, including the COOP team alternative sites, will be seamless and invisible to the individual user.
- (9) A Coast Guard wide accessible file that constitutes the District Phone and Organization book, including email addresses, must be created and maintained. Such file will contain FOUO information on each individual including their home phone numbers, pager, fax and private email addresses, available only to the Coast Guard watch centers and COOP team members at a level to be determined. Such data should be able to be updated by the individual who is listed, rather than rely on someone else or be subject to the inaccuracies and delays inherent in a system not controlled by the individual.
- (10) Server communications links must be compatible between all DOT agencies, permitting a person to work in any agency system from within any other agency system. Fully standardized email and file transfers should be compatible within all government systems, preventing any difficulties in full communications and information transfers regardless of file form or size.
- (11) Common database formats that others can access and use remotely for full functionality including:
  - (a) Maps of topography with cities, roads, rail, waterways, and air lanes.
  - (b) Government and major suppliers such as the DOD equipment database.
  - (c) Phone, fax, email and URL listings for all contacts potentially needed by the COOP team.

### **Compliance Guide, Program Audit Check List**

1. The following pages are a check-off list of the required sections of a district and each unit's COOP plan as it is expected to constitute the COOP program. It is derived from PDD-67 and RCP-65/66/67, which describe the Federal government's required program. This guide should serve military requirements, including plan format in Joint Operations Plans and Execution System (JOPES), as well. If there are separate or different military requirements such as a unit being affected by the CG transition to the US Navy, details of that part should be stated separately in the plan.
2. This Enclosure is written with two Federal Preparedness Circulars (FPC 66 and 67) in DRAFT, see below. CG units should ensure compliance, as above stated, when they are published. They should become part of any future Compliance Guide check-off list. Copies of the FCP publications are available on the FEMA web site at: [www.fema.gov/library/libfpc\\_n.htm](http://www.fema.gov/library/libfpc_n.htm)

#### **Federal COOP/COG Program Publications:**

1. (TS) PDD - 67 (U), Enduring Constitutional Government and Continuity of Government Operations. 10/21/98

NOTE: Only the Unclassified version is necessary for CG planning.

2. (U) Federal Preparedness Circular(s) (FPC): [by FEMA]
  - FPC – 65, Federal Executive Branch Continuity of Operations (COOP). 7/26/99
  - FPC – 66, Tests, Training and Exercises (TT&E) Program for Continuity of Operations (COOP). 4/30/01
  - FPC – 67, Acquisition of Alternate Facilities for Continuity of Operations (COOP) . 4/30/01

Section	Contents	Yes	No	Comments
	Forward, Table of Contents			
1.0	Introduction			
2.0	Purpose			
3.0	Applicability and Scope			
	COOP statement			
4.0	Authorities and References <ul style="list-style-type: none"> <li>• General statement</li> <li>• Listing of authorities, citations, and references</li> </ul>			
5.0	Policy			
6.0	Objective <ul style="list-style-type: none"> <li>• Core business units and functions</li> </ul>			
7.0	Assumptions <ul style="list-style-type: none"> <li>• "Normal" business assumptions</li> <li>• Hazard and Threat considerations</li> </ul>			

Section	Contents	Yes	No	Comments
<b>8.0</b>	<b>Definitions</b> <ul style="list-style-type: none"> <li>Listing and meaning, explanation of important acronyms</li> </ul>			
<b>9.0</b>	<b>Responsibilities of the Head of D/As &amp; Others, Delegations of Authority and Order of Successor</b>			
	<ul style="list-style-type: none"> <li>Identification of key individuals</li> </ul>			
	<ul style="list-style-type: none"> <li>Responsibilities of key internal individuals</li> </ul>			
	<ul style="list-style-type: none"> <li>Responsibilities of key external individuals</li> </ul>			
	<ul style="list-style-type: none"> <li>Delegation of Authority</li> </ul>			
	<ul style="list-style-type: none"> <li>Order of Succession</li> </ul>			
	<ul style="list-style-type: none"> <li>Multi-Year Strategy and Program Management Plan</li> </ul>			
	Other Considerations			
	<p>Have specialized teams been utilized and defined (Logistics, Communications, Media relations, Transportation, Employee Tracking, Employee Wellness, Facilities, Damage Assessment)? <i>Also reference forward to Section 12: Implementation.</i></p> <p>Are relationships defined between the COOP and the Emergency Evacuation Plan, the Critical Infrastructure Plan or the Information Technology (IT) contingency plan?</p>			

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COOP Program Compliance Guide Check List

Section	Contents	Yes	No	Comments
<b>10.0</b>	<b>Distribution</b>			
	<ul style="list-style-type: none"> <li>• Primary distribution list</li> <li>• Secondary distribution list</li> <li>• General distribution</li> <li>• Distribution method</li> </ul>			
	<ul style="list-style-type: none"> <li>• Names and contact information of partners, stakeholders and key field offices, depots, relocation sites and other federal agencies</li> </ul>			
<b>11.0</b>	<b>Site Vulnerability Analysis</b>			
	<ul style="list-style-type: none"> <li>• Analysis of vulnerability to primary and secondary risk hazards at primary site by Federal Protective Service or designated authority.</li> </ul>			
	<ul style="list-style-type: none"> <li>• Analysis of vulnerability to primary and secondary risk hazards at alternate and secondary site by Federal Protective Service or designated authority.</li> </ul>			

Section	Contents	Yes	No	Comments
<b>12.0</b>	<b>Implementation</b>			
	• Warning or no warning emergencies			
	• Localized emergencies			
	• Employee tracking system			
	Phase I – Activation and Relocation (0-12 Hours)			
	• First 12 hours			
	• Conduct minimum essential operations at the COOP alternate facility			
	Phase II – Alternate Facility Operations (12 Hours – Termination)			
	• Continue essential operations			
	• Phase III - Reconstitution			
	• Pre-emergency checklist			
	• Family Support Plan			
	Other Considerations			
	Have any specialty teams identified in Section 9 (Logistics, Communications, Media relations, Transportation, Employee Tracking, Employee Wellness, Facilities, Damage Assessment, etc) been included in the appropriate implementation phase?			

## COOP Program Compliance Guide Check List

Section	Contents	Yes	No	Comments
<b>13.0</b>	<b>Essential Operations, Functions, and Positions</b>			
	<ul style="list-style-type: none"> <li>Roster of qualified personnel</li> </ul>			
	Phase I and first 12 hours, Localized Event <ul style="list-style-type: none"> <li>Notification and Activation Process</li> <li>Essential operations, positions, and equipment</li> <li>Critical activities and resource requirement</li> </ul>			
	Phase II, Localized Event <ul style="list-style-type: none"> <li>Essential operations, positions, and equipment</li> <li>Critical activities and resource requirement</li> </ul>			
	Phase III, Localized Event <ul style="list-style-type: none"> <li>Deactivation and return to normal operations</li> </ul>			
	Phase I and first 12 hours, Widespread Event <ul style="list-style-type: none"> <li>Notification and Activation Process</li> <li>Essential operations, positions, and equipment</li> <li>Critical activities and resource requirement</li> </ul>			
	Phase II, Widespread Event <ul style="list-style-type: none"> <li>Essential operations, positions, and equipment</li> <li>Critical activities and resource requirement</li> </ul>			
	Phase III, Widespread Event <ul style="list-style-type: none"> <li>Deactivation and return to normal ops.</li> </ul>			
	Other considerations			
	Is there a Transition Plan from Phase II to Phase III (both employees and facility)?			



Section	Contents	Yes	No	Comments
<b>14.0</b>	<b>Vital Records and Systems</b>			
	Identification of Emergency Operating Records <ul style="list-style-type: none"> <li>• Emergency Plan</li> <li>• Delegation of Authority</li> <li>• Building Plans</li> <li>• System Plans</li> </ul>			
	Legal and Financial Rights Records <ul style="list-style-type: none"> <li>• Payroll, Personnel, Health/Medical &amp; Etc.</li> <li>• Accounts receivable</li> <li>• Accounts payable</li> <li>• Social Security and Retirement</li> <li>• Title, Deeds, Contracts</li> <li>• Insurance</li> <li>• License</li> </ul>			
	Other considerations			
	Are the Vital Records at the Alternate Facility protected or in a secure storage location?  Have employees been advised to include selected <i>Working Documents</i> as a "personal" element of their Evacuation Kit?			

Encl (6) to COMDTINST 3010.15A  
COOP Program Compliance Guide Check List

Section	Contents	Yes	No	Comments
<b>15.0</b>	<b>Alternate Facilities</b>			
	<ul style="list-style-type: none"> <li>• Selection criteria, including severity of hazard or threat</li> <li>• Capability of sustained use</li> <li>• Dual use facilities</li> <li>• Co-location with other agencies</li> <li>• Telecommuting Centers/work from home</li> <li>• Transportation of personnel to and from alternative site</li> <li>• Lodging requirements</li> <li>• Virtual environments</li> <li>• Primary Backup Region</li> <li>• Secondary Backup Region</li> <li>• MOU's, agreements, contracts</li> </ul>			
	Other considerations			
	<p>Has the planning for the Alternate Facility included the ability to increase the employee headcount as the event transitions through the implementation phases?</p> <p>Has the planning for the Alternate Facility provided for the long-term occupancy of the space?</p>			

Section	Contents	Yes	No	Comments
<b>16.0</b>	<b>Interoperable Communications</b>			
	12 Hours of activation <ul style="list-style-type: none"> <li>Secure and non-secure voice, fax, data and electronic communication needs</li> <li>Communications requirements between the relocation site and field operations</li> <li>Communications requirements between the relocation site and other organizations</li> <li>Process to access mission critical data and systems</li> <li>Communication with employees, management, field locations, customers, partners, stakeholders, and other Federal agencies</li> </ul>			
<b>17.0</b>	<b>Training</b>			
	COOP training program <ul style="list-style-type: none"> <li>Orientation and awareness</li> <li>Refresher classes</li> <li>Frequency, methods and availability</li> <li>Funding requirements</li> </ul>			
	Other considerations			
	Has the training program included all possible audiences (Phase I personnel, Phase II personnel, general management, Phase III personnel (general employee population), alternate facility)?			

Section	Contents	Yes	No	Comments
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## COOP Program Compliance Guide Check List

<b>18.0</b>	<b>Testing and Exercises</b>			
	• Types and methods of exercises			
	• Annual COOP exercise schedule			
	• After Action reporting formats			
	• Funding requirements			
	Other Considerations			
	Is the testing and exercises program coordinated with the training program?			
	Has the testing and exercise program included appropriate staff at the alternate facility?			
	Have state and local organizations been included in the testing and exercises program?			

Section	Contents	Yes	No	Comments
<b>19.0</b>	<b>Plan Maintenance</b>			
	• Review cycle establishment			
	• Review team designation			
	• Identification of robust or dynamic elements			
	• Funding requirements			
	Other considerations			
	What is the level of management support of the COOP development process?			
	What is the visibility of the COOP development team?			

Section	Contents	Yes	No	Comments
<b>20.0</b>	<b>Management Plan</b>			
	• Management support			
	• Funding requirements			
	• Staffing			
	• Resource Requirements			
	• Multi-Year Strategy and Management Plan			

Encl (6) to COMDTINST 3010.15A  
COOP Program Compliance Guide Check List

Section	Contents	Yes	No	Comments
21.0	<b>Appendix</b>			
	<ul style="list-style-type: none"> <li>Sources of systems, equipment, and personnel</li> </ul>			
	<ul style="list-style-type: none"> <li>Management plan for incorporating lessons learned from exercise events into the COOP</li> </ul>			
	<ul style="list-style-type: none"> <li>Telephone directories</li> <li>Successor contact information</li> <li>Primary and Secondary contact lists</li> <li>Vendor list</li> <li>Phase I, II, III personnel, localized and wide-spread</li> <li>Alternate facilities, listing and contact names, both localized and wide-spread</li> <li>FPS or other official agency vulnerability report on primary and secondary sites</li> <li>COOP maintenance team</li> <li>Overall budget</li> <li>Family Support Plan</li> </ul>			
	<ul style="list-style-type: none"> <li>Subordinate COOP plans</li> </ul>			

**General Comments:**

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